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Brookings Institution, Washington, D.C.
Institute for Government Research

THE INSTITUTE
FOR
GOVERNMENT RESEARCH

ITS ORGANIZATION
WORK
AND PUBLICATIONS



Washington, D. C., March 1, 1922

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The Institute for Government Research

818 Connecticut Avenue, N. W.

Washington, D. C.

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The Institute for Government Research

Its Organization, Work and Publications

Creation and Purpose

The Institute for Government Research is an organization created by men who believe that there should be a non-partisan, independent institution to consider the problems of public administration, and particularly those of the National Government, for the purposes of making known the most scientific practical principles and procedure that should obtain in the conduct of public affairs.

Organization and Support

The Institute was incorporated under the laws of the District of Columbia on March 16, 1916, and began active operations on October 1 of that year. Its Board of Trustees has been carefully selected with a view to securing representation on it of those persons who stand highest in the public estimation for their active interest and work in the cause of promoting good government in this country. As at present constituted the Board has as its officers and members:

Chairman: ROBERT S. BROOKINGS

President, Board of Trustees, Washington University, St. Louis, Mo., and, during the war, Chairman of the Price Fixing Committee of the War Industries Board.

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ARTHUR T. HADLEY, former President, Yale University.

HERBERT C. HOOVER, Secretary of Commerce.

A. LAWRENCE LOWELL, President, Harvard University.

SAMUEL MATHER, Merchant, Philanthropist, Cleveland, Ohio.

RICHARD B. MELLON, Banker, Pittsburgh, Pa.

CHARLES D. NORTON, President, First Security Company, New York City; former Assistant Secretary of the Treasury and Secretary to President William H. Taft.

MARTIN A. RYERSON, President, Board of Trustees, University of Chicago; Trustee, Carnegie Institution of Washington.

SILAS H. STRAWN, Attorney at Law, Chicago, Ill.

WILLIAM H. TAFT, former President of the United States; Chief Justice, Supreme Court of the United States.

RAY LYMAN WILBUR, President, Stanford University.

ROBERT S. WOODWARD, former President, Carnegie Institution of Washington.

In addition to the foregoing, the Institute has had upon its Board of Trustees the late James J. Hill, of St. Paul, Minnesota, the late Cesar Lombardi, of Dallas, Texas, the late Theodore N. Vail, of New York, and the late Franklin K. Lane, of San Francisco.

Since its organization the work of the Institute has been under the immediate direction of W. F. Willoughby, former Treasurer of Porto Rico, Assistant Director, U. S. Bureau of the Census, member of President Taft's Commission on Economy and Efficiency, and Legal Adviser to the Chinese Government.

The Institute is wholly supported by private contributions. Its headquarters are at 818 Connecticut Avenue, N. W., Washington, D. C., where it has a valuable technical library relating to the organization and work of the National Government and of administrative matters generally. The Institute is thus thoroughly equipped, within the financial resources at its disposal, to perform the work for which it was created.

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General Policy of the Institute

The Institute aims to make of itself a technical staff agency, the resources of which are available to both the legislative and administrative branches of the government in seeking means by which the administration of national affairs may be put upon a more economical and efficient basis.

To this end, it seeks by the thorough-going study and examination of the best administrative practice, public and private, American and foreign, to formulate those principles which lie at the basis of all sound administration, and to determine their proper adaptation to the specific needs of our public administration.

The accomplishment of specific reforms the Institute recognizes to be the task of those who are charged with the responsibility of legislation and administration; but it seeks to assist, by scientific study and research, in laying a solid foundation of information and experience upon which such reforms may be successfully built.

This policy and attitude towards officers of the government has been more than justified by the results. As will be shown more fully later on, the activities of the Institute, instead of being resented, have been welcomed and to a constantly increasing extent its assistance has been sought by both members of Congress and administrative officers in working out many of the important administrative problems confronting them.

Work of the Institute

The Institute has now been in operation something more than ~~three~~
five years. The work done by it falls under the three main heads of:

1. Scientific Investigation.
2. Assistance to the Government in Meeting Its War Problems.
3. Promotion of Improvements in Administrative Organization and Procedure.

Scientific Investigation

The scientific investigation work of the Institute is largely represented by its publications. Following is a list of the volumes which have been issued by it:

1. The System of Financial Administration of Great Britain.
By W. F. Willoughby, W. W. Willoughby, and S. M. Lindsay.
2. The Budget: A Translation.
By René Stourm.
3. The Canadian Budgetary System.
By H. G. Villard and W. W. Willoughby.
4. The Problem of a National Budget.
By W. F. Willoughby.

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5. The Movement for Budgetary Reform in the States.
By W. F. Willoughby.
6. The Federal Service: A Study of the System of Personnel Administration of the United States Government.
By Lewis Mayers.
7. Principles Governing the Retirement of Public Employees.
By Lewis Meriam.
8. Teachers' Pension Systems in the United States.
By Paul Studensky.
9. Principles of Government Accounting and Reporting.
By Francis Oakey.
10. Principles of Government Purchasing.
By A. G. Thomas.
11. Organized Efforts for the Improvement of Methods of Administration in the United States.
By G. A. Weber.
12. Principles of Public Personnel Administration.
By Arthur W. Procter.
13. The Geological Survey: Service Monograph of the United States Government, No. 1.
14. The Reclamation Service: Service Monograph of the United States Government, No. 2.

A brief account of the character and purpose of each of these volumes is given in an appendix to this pamphlet. These volumes, in addition to being sold to the public, have been given a wide, gratuitous distribution among officers of the government and have furnished the basis for much of the efforts now being made to improve methods of public administration.

Assistance to the Government in Meeting its War Problems

During the war the Institute almost wholly suspended its regular program of work in order to assist the several services of the government in meeting their special problems. This assistance was rendered, partly in the way of performing particular items of work for the services, but largely in the way of lending the members of the Institute's staff to the services for work requiring special knowledge of administrative problems. Among the services so aided were: the Council of National Defense, the American National Red Cross, the Finance, Medical and Ordnance Departments of the War Department, the Bureau of Internal Revenue, and the Senate Finance Committee. That this assistance was highly appreciated is evidenced by the large number of letters received from the heads of departments and services aided expressing their thanks for the work done.

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Promotion of Improvements in Administrative Organization and Procedure

The eight fundamental improvements required in the administrative systems of the United States Government at the time the Institute was organized were:

1. The entire revision of its system of determining and making provision for the financial needs of the government, to be secured through the adoption of a scientific budget system.
2. The establishment of a service of general administration analogous to that of the Treasury in the British Government, which, itself having no operative function, would serve as the organ through which the President, as head of the Administration, might effectively discharge his duties of formulating a budget, supervising its execution, correcting the organization and activities of the administrative services, prescribing uniform methods of conducting the public bureaus, and generally meeting his constitutional obligations of seeing that the laws were duly enforced and of laying before Congress from time to time information in regard to the state of the Union.
3. The setting up of an agency through which the receipts and expenditures of public funds might be properly controlled and Congress be given that information which it must have if it is to assure itself that its agents, the administrative services, are properly performing their duties and be in a position to act intelligently in respect to the grant of future funds; to be secured through the creation of the independent office of Comptroller General.
4. The revision of the rules of procedure of the two Houses of Congress so as to provide for a single Committee on Appropriations in each to have jurisdiction over all appropriation bills, and the recasting of the system of appropriation bills so as to make them conform to the budget classification.
5. The provision of means for obtaining currently the information needed for budgetary and general control purposes; to be secured through the recasting of its system of treasury and departmental accounting and reporting and the perfection of its system of administrative reports.
6. The regrouping of the services of the administrative branch of the government departmentally, and the reassignment of activities among the several services so that the activities and services having to do with the same or closely related fields would be brought together under a common head, the existing overlapping and duplication of organization, plant and operations corrected, and all parts brought together into one systematically integrated piece of administrative mechanism.
7. The reorganization of the system of personnel administration; to be brought about chiefly by the adoption of a standard classification of positions and salaries, the erection of the great field services, such as the postal, customs, and internal revenue services into ones offering

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definite careers to their officers and employees, and the establishment of correct methods for the recruitment, promotion, and retirement of personnel.

8. The improvement of the methods made use of by the administrative services in performing their technical business operations, such as the purchase, issue, custody, and use of supplies, the handling and filing of correspondence, the collection, custody, and disbursement of public funds, the rendition of reports, the audit of revenues and expenditures, etc.

In each of these great fields of administrative reform the Institute has done important work. The nature of this work is in part set forth in the paragraphs that immediately follow.

Budgetary Reform

Prior to the organization of the Institute the United States, alone among the great nations of the world, was attempting to handle its financial affairs without making use of a budget as its central instrument around which all of its financial operations should revolve. A careful study of the subject convinced the Institute that, until the National Government had made definite provision for putting the management of its financial affairs upon a budgetary basis, it was hopeless to effect any far-reaching improvements. Since its organization, the Institute has consequently devoted its major attention to the promotion of this fundamental improvement.

Its first step in this direction was the preparation and publication of the five volumes heading the list of publications of the Institute, in which are made known the budgetary systems of other countries and the nature of the problem presented to the National Government in seeking to put the administration of its financial affairs upon a budgetary basis. It followed this up by the preparation of a brief pamphlet relative to this latter subject, copies of which were sent, with a personal letter, to each member of Congress, and other copies of which were given a wide circulation. As a result of the foregoing, Mr. Good, Chairman of the Committee on Appropriations of the House of Representatives, requested our Director, Mr. Willoughby, to assist him in the preparation of a Bill and House Resolution having for their purpose to provide for the introduction of a budget system and the reform of the House organization and procedure for the handling of the budget after it is received by that body. Provision was then made for the appointment of a Select Committee on the Budget to consider this and other bills relating to budgetary reform. Mr. Willoughby rendered assistance to this committee, not only by supplying valuable information and data but also through the suggestion of witnesses to be called, questions to be asked, and in other ways. A somewhat similar assistance was rendered

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by Mr. Willoughby to Senator McCormick, whose committee had charge of the bill in the Senate.

The result of this work was the passage by Congress and the approval by the President on June 10, 1921, of "The Budget and Accounting Act, 1921." This act was declared by the President, in his annual message to Congress of December 6, 1921, to be "the beginning of the greatest reformation in governmental practices since the beginning of the republic." It accomplishes the first three of the fundamental improvements that have been enumerated in that it makes definite provision for the government going upon a budget basis, for the provision in the Bureau of the Budget, created by it, of a bureau of general administration to assist the President in the performance of his duties as head of the Administration and for the creation of the independent office of Comptroller General.

Creation of an Organ of General Administration

Mention has just been made of the creation by the "Budget and Accounting Act, 1921" of a bureau of general administration which on account of its important duties in respect to the assistance to the President in the preparation of the budget is given the title of "Bureau of the Budget." Immediately upon the organization of this bureau by General Charles G. Dawes, the first Director, the assistance of the Institute was requested in the working out of the many technical questions involved in the installation of the new system. Since then a number of members of the Institute's staff have been continuously employed on this work. Especially was their assistance availed of in the determination of the forms of the new budget and of the financial statements accompanying it.

Creation of the Independent Office of Comptroller General

As indicated, the "Budget and Accounting Act, 1921" made provision for this office. In it Congress, for the first time in its history, will have an agency independent of executive control whose duty it will be, not merely to make a formal audit of all expenditures by the administrative services, but on the basis of the information so obtained, to recommend the action that should be taken to secure a more efficient and economical conduct of public affairs.

Revision of the Rules of Procedure of Congress Governing Appropriation Procedure

In its efforts to secure the adoption of a budget system the Institute pointed out that provision for the formulation and submission of a budget by the President would fail to accomplish its purpose unless the two Houses of Congress revised their rules of procedure so as to vest

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in a single committee complete jurisdiction over all appropriation proposals and to provide for a system of appropriation bills conforming to the budgetary classification of items. The first of these changes, in so far as the House of Representatives is concerned, was accomplished largely through the efforts of Mr. Good, Chairman of the Committee on Appropriations, and the Select Committee of the Budget with whom our Director, Mr. Willoughby, was so closely associated. The second was secured as the result of an agreement reached between General Dawes, Director of the Bureau of the Budget, and Mr. Madden, who had succeeded Mr. Good as Chairman of the House Committee on Appropriations. It is difficult to exaggerate the importance of these changes. The new system at once was approved in the House and has led to a proposal by Senator Warren, Chairman of the Committee on Appropriations of the Senate, that a similar change be made in the Senate rules.

Reorganization of the System of Accounting and Reporting

The function of accounts and reports is twofold—that of ensuring fidelity on the part of all officers having to do with the collection, custody, and disbursement of funds, and that of furnishing information regarding the financial condition and operations. Unfortunately the accounting and reporting system of the National Government has been devised almost wholly with reference to the first purpose only. As a result the financial data published by the government fail to give that information which is imperative if a proper administration of the financial affairs of the government is to be had. In particular do they fail to furnish data needed for budgetary purposes. Due to an appreciation of this fact the Institute since its organization has been making an intensive study of the changes that should be made in the accounting and reporting system of the National Government in order to make it conform to modern principles of public accounting and the requirements of the new budget system. The result of its study was embodied in a manuscript of over 400 pages, exclusive of appendices covering an equal number of pages, entitled "The System of Financial Reports of the National Government: A Description and Criticism of Existing Practices in respect of the Reporting of Receipts, Disbursements and Condition of the Treasury of the National Government with Suggestions for Their Improvement," copies of which have been furnished to the Secretary of the Treasury, the Comptroller General, and the Director of the Bureau of the Budget as an aid to them in effecting this important improvement. Members of the Institute's staff are cooperating with these officers in their consideration of these recommendations, and it is certain that the preparation of this manuscript has greatly promoted and will greatly assist in the securing of the changes needed.

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Reorganization of the Administrative Branch of the Government

Second only in importance to the adoption of a scientific budget system, and making provision for an organ of general administration, is that of securing a thorough reorganization of the administrative branch of the government. The system as it now stands has had a development analogous to that of a rambling group of buildings composed of successive accretions of wings, additions, sheds, and outlying structures, each created to meet a specific need but not designed with any reference to the production of a harmonious assemblage of buildings. Services whose duties fall in the same field and which have, or should have, the most intimate working relations with each other, are scattered among a number of departments where it is exceedingly difficult for them to work in cooperation and often even in harmony with each other. Many departments have attached to them services having nothing to do with their primary function and thus introducing into them elements that can only tend to complicate and interfere with them in the performance of their primary duties.

This faulty organization affects injuriously almost every phase of public administration. It complicates the problem of administration and leads to unnecessary expenditures at scores of points. It makes it difficult, if not impossible, for Congress intelligently to provide for the legislative and financial needs of the services. It confuses the public mind in respect to what the government does and prevents the most effective use by the public of the work done for its benefit by these services. Finally, it stands in the way of the preparation of that systematic report of operations and statement of future needs that should constitute the prime feature of a budget which it is proposed the President shall annually submit to Congress. The correction of this grave defect in our governmental system must be accomplished if the administration of national affairs is to be put upon even a measurably efficient basis.

This problem the Institute for Government Research has approached from a number of standpoints. In the first place the assistance of the Institute has been sought by members of Congress, in the drafting of a resolution to provide for the appointment of a joint committee of the two Houses to make a thorough investigation of the entire administrative branch of the government with a view to making recommendations in respect to the steps that should be taken to put it upon a more efficient basis. This resolution was duly passed, and the committee is now at work upon the investigation. In the second place, the Institute's Director has cooperated with two special organizations which have taken up the matter of the regrouping of certain classes of services. At the request of the Chamber of Commerce of the United States and the National Council on Education, he is serving as a member of special com-

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mittees of those two bodies to consider proposals for the creation of a Department of Public Works and a Department of Education and Science, by the regrouping of existing services having those interests in charge. Both of these committees are relying largely upon the Institute for the detail information and technical advice needed in properly handling these subjects.

Finally, the Institute has prepared a report of something over 400 pages, entitled "The Reorganization of the Administrative Branch of the National Government," that sets forth in detail the principles that should be followed in effecting a scientific grouping of administrative services and the specific changes that should be made in the present organization of that government in order to make it conform to such principles. Copies of this report have been furnished to all of the members of the Joint Commission, the members of the President's Cabinet and other officers concerned with this important branch of public administration. The Institute has received repeated assurances of the aid that this report is rendering to these officers. It, in fact, is hardly going too far to state that it is being made the basis for their study of this question and that many, if not most, of the recommendations contained in it will be urged upon Congress for its approval.

Improvement of Personnel System

The seventh fundamental improvement, that of securing an entire reorganization of the personnel system of the national government, has been promoted by the Institute in two ways. In the first place it made a thorough examination of the existing system with a view to determining the changes that should be made in it. The result of this study was published in a volume entitled "The Federal Service: A Study of the System of Personnel Administration of the United States Government." Much has been written regarding civil service reform from the standpoint of the elimination of the spoils system. This volume, however, represents the first detail study of the personnel system of the National Government from the standpoint of efficiency and proper administration. It cannot fail to be of great influence in promoting improvement in this branch of administration which is just now receiving special attention. In the volume previously published, "Principles Governing the Retirement of Public Employees," this special phase of the personnel problem had already been subjected to critical and constructive examination. Secondly, a member of the Institute's staff has been for a year or more devoting almost his whole time to the assistance of the Senate and House Committees on Civil Service in the drafting of legislation and the Civil Service Commission in planning administrative action looking to the effecting of the changes believed to be desirable. In respect to this basic improvement the Institute is thus playing substantially the role that it did in the securing of the adoption of a budget system.

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Improvement in Administrative Procedure

In respect to the fifth improvement, or rather, class of improvements, that of improvement of methods made use of by the several services of the government in performing their duties, the Institute has made a study of the two important procedural matters of government purchasing and government accounting and reporting. A report bearing on the first has been published and the manuscript for the latter is now in the hands of the Director undergoing editorial revision preparatory to transmission to the printer. In addition to this the Institute has assisted a number of services of the government in working out improved methods, an account of which will be found in the annual reports of the Director.

Cooperation With Other Agencies for Governmental Improvement

In considering the work of the Institute special mention should be made of the assistance rendered by it to other organizations seeking to promote a better administration of public affairs. The Institute has so well established itself as an agency for the promotion of governmental improvement that its Director has been asked to assist in almost all efforts in that direction. He has thus been asked and has consented to serve as a member of the following committees:

1. Committee on Budget and Efficiency: Chamber of Commerce of the United States.
2. Committee on Department of Public Works: Chamber of Commerce of the United States.
3. Committee on Federal Legislation: American Council on Education.
4. Committee on Federal Statistics: American Statistical Association.
5. Joint Committee on a National Archives Building: American Historical, Economic and Political Science Associations.

Future Work of the Institute

Important as has been the work of the Institute, it is necessary to recognize that this work represents but the laying of the foundation for the accomplishment of the end for which the Institute was created. There is almost literally no limit to the extent to which it is desirable to subject the organization and methods of operation of the administrative services of the government to intensive study for the purpose of making known the changes that should be made in them with a view to the securing of greater efficiency and the elimination of waste. Especially is this true of such services as the Post Office Establishment, the Bureau of Internal Revenue, and the Customs Service. It is highly desirable also that an objective critical study should be made of the organization and methods of work of the War and Navy Departments.

The Problem of Budgetary Technique

Of most immediate urgency, however, is the study of the special problems involved in the devising and practical operation of a budgetary system, after provision for such a system has been made by Congress. The adoption by Congress of a satisfactory budget law means only the taking of the first step towards putting the system of financial administration of the National Government upon a sound basis. There still remains the important and difficult task of working out the technical details by which this system may be made effective. This means the making of careful studies of the form in which the budgetary estimates should be compiled and go forward; the heads and sub-heads under which appropriations should be made; the heads under which the accounting of expenditures should be had, in order to develop the information needed for budgetary and general control purposes; the character of financial statements that should be prepared in order that full and easily understood data may be made public; and the many other technical matters involved in securing a really satisfactory budget system in its practical operation. The Institute is now directing a large part of its time to a study of these problems.

Problems of Organization

In like manner there are scores of technical problems having to do with organization that should be subjected to critical study. Such, for example, are the problems of determining the extent to which the policy should be pursued of making each subordinate service as far as possible self-contained, or of providing that all services within a department shall make common use of single departmental service for the performance of such duties as those connected with the recruitment of personnel, the purchase, custody, distribution and use of supplies; the receipt, custody and disbursement of funds; the keeping of accounts and rendition of reports, etc.; the extent to which there is need for the creation of technical staff agencies and the character and scope of duties of such agencies; the extent to which it is feasible, under our form of government, to provide for a permanent assistant secretary in each department who will perform the duties of a general manager for the department and have the same general status and responsibilities as the Permanent Under Secretaries of the several ministries under the British system, etc.

Description of Existing Organization and Activities of the Government

The first essential to a systematic reorganization of the government and improvement of the methods of administration is full knowledge of its present make-up and operations. The greater the work, the more

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varied the activities engaged in, and the more complex the organization employed the more imperative becomes the necessity that this information shall be available, and available in such a form that it can be readily utilized. To meet the need of such information the Institute has undertaken the preparation of a series of monographs, entitled "Service Monographs of the United States Government," having for their purpose to present, according to a uniform plan, a detail description of the history, activities, organization, laws governing, etc., of each of the several score of separate administrative services now being maintained and operated by the National Government.

In the preparation of these monographs the Institute has kept steadily in mind the aim to produce documents that will be of direct value and assistance in the administration of public affairs. In addition to furnishing the information absolutely essential in order intelligently to put through the great work of reorganization of the administrative branch of the government, now so urgently needed, these volumes will provide documents of direct assistance in the current administration of public affairs. To executive officers they will offer valuable tools of administration. Through them such officers can, with a minimum of effort, inform themselves regarding the details, not only of their own service, but of others with whose facilities, activities and methods it is desirable that they should be familiar. To members of Congress they will furnish, in readily accessible form, the information needed by them in order intelligently to legislate regarding and to vote funds for the support of these services. To the public finally they will give that knowledge of the organization and operations of their government which must be had if an enlightened public opinion is to be brought to bear upon the conduct of public affairs. The progress that has been made on this work is shown in the Appendix to this pamphlet listing and describing the publications of the Institute.

Promotion of Administrative Improvement of State Governments

Though the Institute has concentrated its work primarily upon the National Government, it has sought at the same time to do what it could in the way of rendering assistance to the governors and other officers of the states who are seeking to meet many of the same problems of administrative improvement that confront the National Government. Especially has it cooperated with these officials in promoting the cause of budgetary reform for these bodies. This it has done, partly by the preparation and publication of its report dealing with "The Movement for Budgetary Reform in the States," but chiefly through direct correspondence and the rendering of expert criticism and suggestions on proposed plans. The field of usefulness thus open to it is one of constantly growing importance.

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Journal of Public Administration

In looking to the future, mention should be made of the service that can be rendered to the public by the Institute through the publication of a "Journal of Public Administration." Such a journal would not only furnish the vehicle for the publication of shorter contributions which do not find a proper place in any of the other series of reports issued by the Institute, but would serve as the means through which all of the agencies and individuals now interested in promoting governmental improvement could keep currently informed regarding the work being done. Its possible influence in educating public opinion needs no mention. More important than this, however, would be the effect that it would have in bringing to the attention of those actually in charge of the conduct of public affairs matters that would be of direct value to them in the conduct of the affairs of their offices. It is quite within the realm of possibilities that a periodical of this character might in time be made self-supporting.

Conclusion

In the foregoing it has been practicable only to give in the most general terms the purposes of the Institute, the character of its work and its possible field of usefulness for the future. Of the need for such an institution that will quietly and persistently subject all of the problems of national administration to scientific study with a view to making known wherein present conditions are defective and the action required in order to correct such defects there would seem to be no question. The Institute now has the great advantage that it has passed through the formative stage, that it has a clear idea of precisely the nature of the task that is involved in putting the organization and administration of the National Government upon a more efficient basis, and, more important than all, that it has established itself in the confidence of both the legislative and administrative branches of the government. From now on its usefulness is to be measured only by the resources that may be placed at its disposal for the prosecution of its work. Relative to the work to be done, its financial needs are small. That these needs will be met in at least a measurable degree is the confident expectation of those who since its organization have given it encouragement and support.

APPENDIX

PUBLICATIONS OF THE INSTITUTE FOR GOVERNMENT RESEARCH

D. Appleton & Co., New York, Publishers

The System of Financial Administration of Great Britain

By

W. F. WILLOUGHBY

Director, Institute for Government Research

W. W. WILLOUGHBY

Professor of Political Science, Johns Hopkins University

S. M. LINDSAY

Professor of Social Legislation, Columbia University

1917, 256 pages, 8vo; cloth, \$3.00 net

This is the first authoritative, detailed account of the system of financial administration of the country which has the oldest, best developed and foremost budgetary system in the world. It was prepared as the result of a personal study of the system on the spot and conference with the officials having chief responsibility for its operations. The study was undertaken in order that full information regarding the character and practical workings of this most successful of all budget systems might be available in working out the problem of budgetary reform in this country. It has received high praise from the leading journals in both England and the United States.

The scope of the work is indicated by its chapter and appendix headings which follow:

CONTENTS

1. Analysis of the Problem of Financial Administration of a Government
- II. Some Fundamental Features of the English System of Financial Administration
- III. The Estimates: Preparation and Submission
- IV. The Estimates: Character and Form
- V. The Estimates: Appropriations in Aid
- VI. The Estimates: Action Upon in Parliament
- VII. Disbursement of Public Funds
- VIII. Treasury Control Over Expenditures
- IX. Office of Works and Public Buildings
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2. Consolidated Fund (No. 1) Bill, 1912
3. Consolidated Fund (Appropriation) Act, 1912
4. Forms Authorizing and Granting Credits and Exchequer Issues

The Budget

By

RENE STOURM

1917, 619 pages, 8vo; cloth, \$4.00 net

This translation of Professor Stourm's famous work on the Budget was published by the Institute as giving much the best exposition of the French budgetary system now extant. While devoted primarily to fiscal institutions and practices in France, it gives exceedingly valuable comparisons with financial systems in other countries and discusses in a broad philosophical way the problems involved in providing for a satisfactory system of financial administration in any country. It is especially rich in historical matter relating to the financial institutions of both France and other countries. It may, in fact, be regarded as the standard treatise on the origin, history and practice of budget making in the leading countries of Europe.

CONTENTS

INTRODUCTION—THE BUDGET AND THE BUDGETARY PREROGATIVE

- I. Definition of the Word "Budget"—Budgetary Prerogative
- II. Contest Over Control of the Purse in France

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- IV. Time of Preparing the Budget
- V. The "Fiscal Period" and the "Administrative Period"
- VI. Universality and Specialization
- VII. Budgetary Estimate of Revenues and Expenditures
- VIII-IX. Contents of the (French) Budget
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- XIII. Specialization (Special Funding of Different Activities)
- XIV. The Budgetary Powers of the Two Chambers
- XV. Annual Voting of the Budgets
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- XXII. The Concentration of Revenues in the Treasury
- XXIII. The Treasury Service
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PART IV—CONTROL OF THE BUDGET

- XXVII. Necessity of Control
- XXVIII. Cour des Comptes
- XXIX. Control Over the Ordonnateurs
- XXX. Regulation of the Budget
- XXXI. Resumé of Budgetary Formalities

The Canadian Budgetary System

By

H. G. VILLARD

and

W. W. WILLOUGHBY

1918, 379 pages, 8vo; cloth, \$3.00 net

This work was prepared for the purpose of showing the character and practical workings of a budget system in a country presenting conditions in many respects analogous to our own. It has the special value that it exhibits the workings of a budget system similar in its most fundamental aspects to the British system but having to operate under changed conditions. By showing how the latter system works, and in many respects fails to work satisfactorily, under conditions more closely analogous to those obtaining in this country, it discloses the extent to which the good and bad results reached have been due to excellences and defects which are inherent in the system itself or to particular practices and procedures followed, which, therefore, may with profit be copied or avoided in any attempts at budgetary reform in the United States. In order that the comparison of actual budgetary operations in Great Britain and Canada may be most effectively made, the Canadian volume has followed as closely as possible the order and mode of treatment of the volume dealing with the British system. The two works thus supplement each other and together throw much light upon the problem now confronting both the National Government and those of our states of devising a more satisfactory system for the administration of their financial affairs.

CONTENTS

- I. Analysis of the Problem of Financial Administration
- II. The Canadian Constitutional System
- III. Control of Government Expenditures before Confederation; Provincial Subsidies
- IV. General Administrative Practices
- V. Executive Expenditures without Legislative Sanction
- VI. The Estimates: Preparation and Submission
- VII. The Estimates: Action upon in Parliament
- VIII. Organs and Officers for the Administration of the Finances
- IX. Issue and Disbursement of Public Funds
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- XII. Political Evils and Their Effect on Canadian Financial Administration
- XIII. Divergencies of the Canadian from the British Budgetary System and Their Results

Appendix

1. Department of Finance and Treasury Board Act
2. Consolidated Revenue and Audit Act
3. The Appropriation Act, No. 1, 1917
4. Budget Speech Delivered by the Minister of Finance, April 24, 1917

The Problem of a National Budget

By

W. F. WILLOUGHBY

Director, Institute for Government Research

1918, 220 pages, 8vo; cloth, \$3.00 net

This volume has for its purpose to consider the special problem that confronts our National Government in seeking to put the administration of its financial affairs upon a budgetary basis. To this end it seeks to do two things: first, to analyze the problem and state the fundamental principles that must find expression in any budget system if it is to be satisfactory; and, second, to make known and discuss the particular steps that must be taken by our National Government in putting these principles into execution. Though the general idea underlying a budget system is comparatively simple and easy of statement, few persons have any conception of the technical requirements of such a system and the many changes that must be made in the organization and methods of procedure of both the administrative and legislative branches of the government if this system is to be made to work successfully in practice. It is hardly going too far to say that this work represents the first serious attempt to consider this problem in both its theoretical and purely practical aspects as a concrete problem confronting the National Government.

CONTENTS

- I. The Nature and Functions of a Budget
- II. The Administration of a Budget System
- III. Legislative Action upon a Budget
- IV. The Problem of the Establishment of a Budget System by the National Government
- V. The National Government as a Holding Corporation: The Question of Subsidiary Budgets
- VI. The Correlation of the Organization of Congress and That of the Executive for Budgetary Purposes
- VII. Allotment of Funds by Executive Officials an Essential Feature of any Correct Budgetary System
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- IX. Conclusion: Establishment by Congress of a National Commission on the Adoption of a Budget the Next Step

Appendix

1. Financial Statements of the Institute for Government Research as Illustration of Character of Budgetary Data Desired.
2. Message of President Taft to Congress on the Need for a National Budget, June 27, 1912
3. Resolution Creating a Commission to Report a Plan for the Adoption of National Budget System
4. Bill to Provide a Board of Administrative Control Under the Direction of the President of the United States
5. Bibliography

The Movement for Budgetary Reform in the States

By

W. F. WILLOUGHBY

Director, Institute for Government Research

1918, 256 pages, 8vo; cloth, \$3.00 net

This volume has for its purpose to give a full account of the action taken by the several states of the Union looking to the adoption by them of a scientific budget system. The treatment is at once analytical, descriptive and critical. After a brief statement of the causes giving rise to the movement and the nature of the conditions to be met, each state is taken up for separate consideration. Wherever legislation has been had on the subject such legislation is reproduced in full and subjected to critical examination. Finally, a careful analysis is presented of all the laws enacted for the purpose of bringing out the different policies that have been adopted by the states and those features in respect to which it is believed that the states have acted wisely or the contrary. The information thus afforded is of value not only to the states affected and to other states contemplating action along the same lines, but to those who are giving special consideration to the problem of budgetary reform for the National Government. An appendix gives an exhaustive bibliography of the subject.

CONTENTS

- I. Introduction: Origin of Movement
- II. Budgetary Legislation by the Individual States—Maryland, Utah, New Mexico
- III. Budgetary Legislation by the Individual States—Virginia, Delaware
- IV. Budgetary Legislation by the Individual States—Illinois, Iowa, Kansas, Minnesota, Nebraska, New Jersey, Ohio
- V. Budgetary Legislation by the Individual States—California, Tennessee
- VI. Budgetary Legislation by the Individual States—Wisconsin, Vermont, North Dakota, South Dakota
- VII. Budgetary Legislation by the Individual States—Connecticut, Louisiana, Massachusetts, Oregon, Washington
- VIII. Budgetary Legislation by the Individual States—New York
- IX. Budgetary Legislation by the Individual States—Alabama, Arizona, Arkansas, Colorado, Florida, Michigan, Pennsylvania
- X. Comparative Analysis of Budgetary Legislation of the States: Formulation of the Budget
- XI. Comparative Analysis of Budgetary Legislation of the States: Legislative Action upon the Budget
- XII. Conclusion: General Summary

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1. Extracts from Report of Committee on Finances, Revenues and Expenditures, New York Constitutional Convention, 1915, Favoring Adoption of Constitutional Amendment Providing for a Budget Setting Forth Defects of Existing Appropriation System in New York State.
2. Summary of Findings and Recommendations Relating to State Finances and Budget Procedure as Submitted to the Survey Committee of State Affairs, Colorado, by its Staff, December, 1916
3. Bibliography

Organized Efforts for the Improvement of Methods of Administration in the United States

By

G. A. WEBER

Member of Staff, Institute for Government Research

1919, 391 pages, 8vo; cloth, \$3.00 net

During recent years a nation-wide movement has come into existence for putting the work of the administrative branch of our governments, national, state and local, upon a more efficient basis. This movement has found expression in the creation of a variety of agencies, public and private, having for their purpose to examine critically the organization and methods of business of particular governments and to point out the steps that must be taken for the improvement of conditions found to be defective. So rapidly has this movement grown that it is difficult even for those specially concerned with this field of research to acquaint themselves with what has been done by these various agencies, in general or with respect to any particular subject of investigation.

The present volume has been prepared to make available in one place the essential information regarding these various agencies and to furnish, as far as may be, a list of their publications. In successive chapters is given an account of the creation, work and publications of each such agency. These publications are furthermore indexed alphabetically in the general index to the volume so that all the publications bearing on any particular topic may be readily located. The volume also contains a paper by the Director of the Institute, in which the significance of the movement leading to the establishment of these institutions is subjected to critical examination.

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The Modern Movement for Efficiency in the Administration of Public Affairs

PART I—AGENCIES FOR RESEARCH IN GOVERNMENT

- I. Agencies for Studying Public Administration Generally: Unofficial
- II. Agencies for Investigating the National Administration: Official
- III. Agencies for Investigating the Administration of States: Official
- IV. Agencies for Investigating the Administration of States: Unofficial
- V. Agencies for Investigating State and Local Administrations: Unofficial
- VI. Agencies for Studying Municipal Administration Generally: Unofficial
- VII. Agencies for Investigating the Administration of Cities: Official
- VIII. Agencies for Investigating the Administration of Cities: Unofficial
- IX. Agencies to Investigate the Administration of Counties: Unofficial

PART II—ORGANS OF CENTRAL ADMINISTRATIVE CONTROL

- X. Organs of Administrative Control in the States
- XI. Organs of Administrative Control in Cities

PART III—LEGISLATIVE REFERENCE AND BILL-DRAFTING AGENCIES

- XII. The Problem of Legislative Reference and Bill-Drafting Services
- XIII. Agencies Furnishing Legislative Reference and Bill-Drafting Service
- XIV. Legislative Reference Services
- XV. Bill-Drafting Services

Teachers' Pension Systems in the United States

By

PAUL STUDENSKY

1920, 460 pages, 8vo; cloth, \$3.00 net

For years the problem of devising a proper pension system for teachers in our public schools has been before the American public. Although many varieties of systems have been established, practically all are of so faulty a character that their thorough reorganization is imperative if disaster is to be avoided.

This failure to meet adequately one of the most important problems of public administration is due chiefly to the lack of scientific knowledge regarding its various complex phases. The present volume is intended to meet this need.

The first part of the volume is devoted to a thorough-going analysis of the teachers' pension problem in all its aspects. The second part discusses the typical systems of today. Four chapters are devoted to a study of the unsound systems. The remaining four chapters are devoted to an analysis of the scientific pension systems and the way they have been developed. The full text of the laws of a sound character are reproduced, the most important actuarial tables of recent development are given and a carefully prepared bibliography of the subject.

CONTENTS

PART I—THE PROBLEM OF TEACHERS' PENSIONS

- I. The Evolution of Teachers' Pensions in the United States
- II. The Teachers' Pension Problem Outlined
- III. Superannuation Benefits
- IV. Disability Benefits
- V. Death and Withdrawal Benefits
- VI. Determining the Cost of Benefits
- VII. The Division of Cost Between Government and Teachers
- VIII. The Government Contribution
- IX. The Teachers' Contribution
- X. Compulsory Participation and the Right to Management

PART II—TYPICAL TEACHERS' PENSION SYSTEMS OF TODAY

- XI. Systems Without Reserves
- XII. Systems With Inadequate Reserves: State Systems
- XIII. Systems With Inadequate Reserves: Local Systems
- XIV. Systems With Inadequate Reserves: The Chicago Fund
- XV. The Massachusetts Fund the First Scientific System: The Connecticut Fund
- XVI. The New York City Fund
- XVII. The Pennsylvania System
- XVIII. The Scientific Pension Laws of 1919: New Jersey, Ohio and Vermont

Appendix

1. Comparative Analysis of the Twenty-four Systems Discussed
2. References to Laws, Statistical and Other Reports, etc., Relative to All the Teachers' Pension Systems in the United States
3. Laws Providing for Sound Teachers' Pension Systems
4. Actuarial Tables
5. Bibliography

The Federal Service: A Study of the System of Personnel Administration of the United States Government

By

LEWIS MAYERS

Member of Staff, Institute for Government Research

1922, 607 pages, 8vo; cloth, \$5.00 net

Much has been written regarding the reform of the federal civil service from the standpoint of the elimination of the spoils system. This volume, however, represents the first attempt to make a thorough study of the personnel system of the National Government from the standpoint of efficiency and proper administration. In it is given a detailed description and critical analysis of the system as it exists at the present time. All of the problems of personnel are subjected to examination, special care being taken to indicate not only wherein these problems are improperly met but the specific changes that should be made to put the personnel system of the National Government upon an efficient basis. That the volume will be of great value in the work now under way for improving the methods of public administration cannot be questioned.

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Foreword

I. Introductory

PART I—THE ELIMINATION OF POLITICS FROM THE FEDERAL PERSONNEL SYSTEM

II. Introductory

III. The Law and Tradition of Selection and Tenure

IV. The extension of Formal Methods of Selection

V. The Elimination of Political Interference Inside the Service

PART II—THE PROBLEM OF FEDERAL PERSONNEL ADMINISTRATION

VI. Introduction

VII. The Classification and Standardization of Positions and Salaries

VIII. Selection by Promotion from Within versus Recruitment from Without

IX. Methods of Selection from Within: Reassignment and Promotion

X. Recruitment Methods: Some Basic Aspects

XI. Recruitment Methods: The Competitive Classified Service

XII. Recruitment Methods: The Unclassified Service

XIII. The Maintenance of Individual Efficiency

XIV. Working Conditions

XV. Organization for Personnel Administration

XVI. Employees' Organizations and Committees Appending

Principles of Government Accounting and Reporting

By

FRANCIS OAKLEY

Chief Consulting Accountant, Institute for Government Research

1921, 561 pages, 8vo; cloth, \$5.00 net

In respect to private enterprises the science of accounts has been brought to a high degree of perfection. Through the principles and practices developed by it, it is now possible for those in charge of an enterprise, no matter how complicated its operations may be, to secure the most detailed information regarding any phase of its financial activities and currently to control their operations.

It is to be regretted that similar progress has not been made in respect to the problems of public finance. There is, in fact, almost nothing of a comprehensive or systematic character dealing with the matter of public accounting. The present volume has been prepared to fill this gap. The subject is handled in an intensely practical manner and every effort has been made to make of it a work that can be easily understood by the layman as well as the trained accountant. The whole subject is approached from the standpoint of reporting; that is, the point of departure is to determine first the character of accounting information that is needed for the proper conduct of public affairs and then to set forth the manner in which this information is to be secured and presented. Whether one agrees or not with all the positions taken by the author, the work cannot fail to be of great service to all officers of a government having to do with the accounting and reporting operations of a government.

CONTENTS

- I. Introduction
- II. Funds and Methods of Funding
- III. Information Needed Regarding the Financial Conditions of Funds
- IV. Detail Statements of the Operation of Funds
- V. Appropriations and Information Needed Regarding Their Financial Condition
- VI. Relation of Fund Accounts to Proprietary Accounts
- VII. Statements of Operations of the Government as a Whole
- VIII. Information Needed Regarding Financial Condition of the Government as a Whole
- IX. The Balance Sheet
- X. The Surplus Account
- XI. Information Needed Regarding Receipts
- XII. Detail Statements of Expenditures
- XIII. Information Needed Regarding Fixed Property
- XIV. Information Needed Regarding Stores
- XV. Information Needed Regarding Funded Debt and Sinking Funds
- XVI. Schedules of Current Assets and Current Liabilities
- XVII. Statements Relating to Private Funds
- XVIII. The Budget as a Report

Principles Governing the Retirement of Public Employees

By

LEWIS MERIAM

Member of the Staff, Institute for Government Research

1918, 462 pages, 8vo; cloth, \$3.00 net

The problem of providing for the retirement of public employees when they are no longer able to perform the duties of their positions is one which must sooner or later be met by all but purely local governments. It is one, moreover, which involves considerations of a technical character that must be met if a system at once financially sound, equitable, and susceptible of efficient administration is to be established. The determination of these considerations and of the manner in which they should be met cannot possibly be worked out by a legislative body unaided. There are thus few problems of administration that it is more desirable should be subjected to independent, scientific study. It was due to this that this subject was among the first undertaken by the Institute. The result of this study is given in the present volume.

CONTENTS

- I. The Objects Sought in Establishing a Retirement System
- II. Analysis of the Problem of Devising an Adequate Retirement System
- III. The Contributory vs. the Non-Contributory Systems
- IV. The Wholly vs. the Partly Contributory Systems and the Indirect Contributions of the Government
- V. The Superannuation or Service Benefit
- VI. The Disability Benefit
- VII. Benefits on Withdrawal from the Active Service, Whether by Resignation or Dismissal
- VIII. A Benefit in Event of Death in the Active Service, Death Not Caused by the Actual Performance of Duty
- IX. A Benefit in Event of Death in the Active Service, Death the Direct Result of the Actual Performance of Duty
- X. A Benefit in Event of Death after Retirement
- XI. The Employee Who Becomes Inefficient from Causes Other than Accident, Disease or Old Age
- XII. A Benefit in the Event of the Abolition of Position or Reorganization of Office
- XIII. The Present Employees
- XIV. The Actuarial Reserve Plan vs. The Assessment or Cash Disbursement Plan
- XV. The Establishment and Operation of a Retirement System on the Actuarial Reserve Basis Generally Described
- XVI. The Actuarial Deficit Created When a New System Promises Benefits to Present Employees for Past Services
- XVII. Systems too Small to be Conducted on Actuarial Reserve Basis
- XVIII. Certain Common Practices in Financing a Fund that Are Objectionable
- XIX. Protecting the Public from Financial Indiscretion of Retired Employees
- XX. Conclusions
- Bibliography

Principles of Government Purchasing

By

A. G. THOMAS

Member of Staff, Institute for Government Research
1919, 274 pages, 8vo; cloth, \$3.00 net

Among technical problems of administration those having to do with the operations involved in determining purchase requirements and in subsequently effecting purchases after such requirements have been ascertained occupy a prominent place. This class of problems presents itself in quite a different form in the case of governments from what it does in that of private undertakings. This arises from the wide range of articles to be secured, the large number of departments and institutions to be served and, above all, from the fact that government purchasing agents must make their action conform rigidly to legal requirements.

Due to the foregoing the ordinary treatises on purchasing as applied to private enterprises are only of limited value to government officers having in charge these duties. The present volume seeks to overcome these limitations by concerning itself directly with the problem of purchasing as it confronts a government. Though based on a careful study of the purchasing systems of a large number of the more important industrial corporations of the United States, it keeps constantly in view the special conditions that have to be met in government operations. It thus furnishes information regarding the manner in which this important task of government services should be performed that is available in no other work.

CONTENTS

PART I—THE BASIC PROBLEM OF GOVERNMENT PURCHASING

- I. Introduction
- II. The Centralization of Purchasing in Governments
- III. Legal Restrictions in Government Purchasing

PART II—PURCHASING METHODS

- IV. The Purchasing Process Outlined
- V. Determining Purchase Requirements
- VI. Determining Current Market Conditions and Tendencies
- VII. Elements Essential to Securing the Fullest Competition
- VIII. The Development of Specifications
- IX. Inviting Bids: Special Problems in Preparing an Invitation for Bids
- X. Purchase Agreements
- XI. Giving Publicity to Purchase Requirements
- XII. Purchase Negotiations and Awards
- XIII. Follow-Up
- XIV. Inspection
- XV. Handling Invoices and Paying Bills

Appendix

1. Purchasing System of the General Electric Company
2. Purchasing System of the New York Central Railroad, Eastern Division
3. Continuing Agreements in City Purchasing

Principles of Public Personnel Administration

By

ARTHUR W. PROCTER

Former Member of Staff, Institute for Government Research

1921, 244 pages, 8vo; cloth, \$3.00 net

The securing and maintaining of an efficient personnel is one of the most important problems confronting all governments. No one who has not made a detailed study of the question can appreciate the large number of distinct factors entering into this problem or the difficulties involved in their proper handling. These factors, moreover, are largely of a technical character. They embrace not merely general principles, such as that underlying the merit system, but the determination of the character of organization and procedure that shall be employed in putting these principles into execution, the nature of the tests that shall be made use of in selecting new employees, the manner in which employees shall be classified for the purpose of fixing their compensation, controlling their opportunities for promotion, etc., the means to be employed in determining the relative efficiency of employees engaged in the same or collateral lines of work, the nature of the personnel records to be maintained and scores of other details. Only a relatively few persons can be expected to concern themselves with the technical phases of this problem. There are many, however, such as members of our national state and local legislative bodies, who are called upon to consider proposals looking to the reorganization of the personnel system of the governments with which they are connected, who ought to have a fairly comprehensive grasp of the nature and scope of the problem as a whole. It is with special reference to the needs of such officers that the present volume has been prepared.

CONTENTS

- I. History of Public Employment
- II. A Public Employment Program
- III. The Civil Service Commission
- IV. Standardization of Public Employment
- V. The Conduct of a Standardization Inquiry
- VI. Recruiting and Selection
- VII. Training
- VIII. Rating and Control of Individual Efficiency
- IX. Advancement and Promotion
- X. Employees' Representation

Appendix

- 1. Civil Service Commissions in the United States Classified According to Legal Conditions of Control
- 2. Standard Civil Service Laws for States and Cities Drafted by National Civil Service Reform League
- 3. Bibliographic Note

Service Monographs of the U. S. Government

To lay the basis for a comprehensive study of the organization and operations of the National Government the Institute has undertaken the preparation of a series of volumes, of which the two above named represent the first issues, having for their purpose to give a detail account of all of the several score of distinct administrative services now maintained by the National Government.

These monographs are all to be prepared according to a uniform plan. They will give: first, the history of the establishment of the service; second, its functions, described, not in general terms but by detailing its specific activities; third, the organization for the handling of these activities; fourth, the character of its plant; fifth, a compilation of, or reference to, the laws and regulations governing its operations; sixth, financial statements showing its appropriations, expenditures and other data for a period of years; and, finally, a full bibliography of the sources of information, official and private, bearing on the service and its operations.

Published

The Reclamation Service
The Geological Survey

In Press

The Bureau of Mines
The Alaskan Engineering Commission
The Federal Board for Vocational Education
The Federal Trade Commission
The Tariff Commission
The Steamboat Inspection Service
The General Land Office
The National Park Service
The Public Health Service
The Employees' Compensation Commission
The Weather Bureau
The Bureau of Education
The Bureau of Labor Statistics
The Women's Bureau
The Children's Bureau

In Progress

The Shipping Board
The Bureau of Foreign and Domestic Commerce
The Veterans' Bureau
The Interstate Commerce Commission
The Bureau of Lighthouses
The Federal Power Commission
The Office of Supervising Architect of the Treasury
The Bureau of Navigation
The Bureau of Immigration
The Bureau of Naturalization
The Forest Service
The Bureau of Public Roads
The Coast and Geodetic Survey
The Railroad Labor Board



